

CR/2152

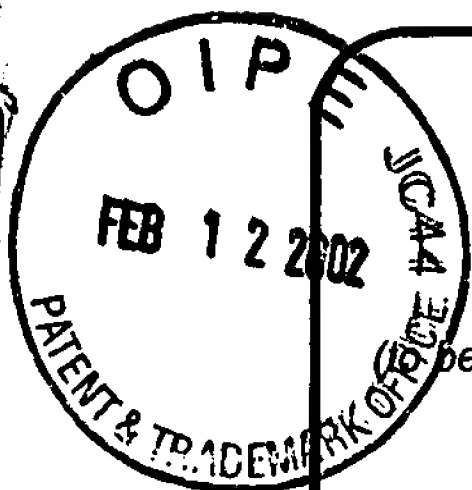
PTO/SB/21 (08-00)

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TRANSMITTAL FORM

to be used for all correspondence after initial filing)

Application Number 09/993,888

Filing Date November 27, 2001

First Named Inventor Mark E. Pennell

Group Art Unit 2152

Examiner Name not yet known

Attorney Docket Number 10005.000110

Total Number of Pages in This Submission

6 **

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ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Assignment Papers (for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) _____

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s) (please identify below):

Form PTO/SB/08;

Copies of Listed References:

[3 US Application(s)];

Return receipt postcard

Remarks

** does not include pages for listed references

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Patrick D. Benedicto, Reg. No. 40,909
DEGUZMAN OKAMOTO & BENEDICTO, LLP

Signature

Patrick Benedicto

Date

January 23, 2002

CERTIFICATE OF MAILING

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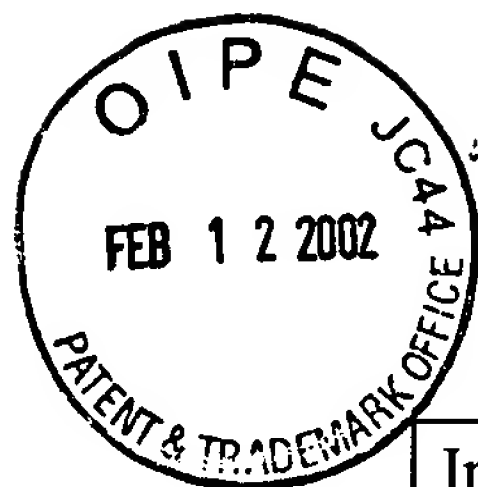
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#6
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Mark E. Pennell, et al.

Serial No. 09/993,888

Examiner: not yet known

Filed: November 27, 2001

Art Unit: 2152

Title: Method and Apparatus for
Defeating a Mechanism that Blocks
Windows

Atty. Dkt. No.: 10005.000110

Commissioner of Patents
Washington, DC 20231

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INFORMATION DISCLOSURE STATEMENT

Under 37 C.F.R. §1.56 and §§1.97-98

Sir:

Pursuant to the provisions of 37 CFR 1.56 and §§1.97-98, enclosed herewith is form PTO/SB/08 (substitute for form 1449A/PTO) listing references which may be material to the examination of this application, and with respect to which there may be a duty to disclose. The filing of this Information Disclosure Statement shall not be construed as a representation regarding the completeness of the list of references, or that inclusion of a reference in this list is an admission that it is prior art or is pertinent to this application, or that a search has been made, or as an admission that the information listed is, or may be considered to be, material to patentability, or that no other material information exists, and shall not be construed as an admission against interest in any manner.

A copy of each listed reference is enclosed herewith, unless no such copy is required pursuant to 37 CFR § 1.98(d).

- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior application Serial No. [SERIAL NUMBER], filed on [FILING DATE], and the references cited therein are hereby listed but are not required to be provided in this application under 37 CFR § 1.98(d).

Pursuant to 37 CFR §1.97, this Information Disclosure Statement is being submitted under the section indicated below.

☒ 37 CFR §1.97(b).

☐ 37 CFR §1.97(c). If so, then either:

☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that either:

- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56 (c) more than three months prior to the filing of this Statement.

OR

☐ Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).

☐ 37 CFR § 1.97(d). If so, then both:

☐ Applicant certifies pursuant to 37 CFR § 1.97(e) that either:

- ☐ each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; OR
- ☐ no item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this certification after making reasonable inquiry, was known to any individual designated under 37 CFR § 1.56(c) more than three months prior to the filing of this Statement.

AND

☐ Applicant submits the petition fee of \$180 as set forth in 37 CFR § 1.17(p).

Consideration of the listed references and favorable action are respectfully solicited.

Respectfully submitted,

Mark E. Pennell, et al.

Dated: 1-23-02

By: Patrick D. Benedicto

Patrick D. Benedicto

Attorney For Applicant(s)

Reg. No. 40,909

DEGUZMAN OKAMOTO & BENEDICTO LLP

P.O. Box 51900

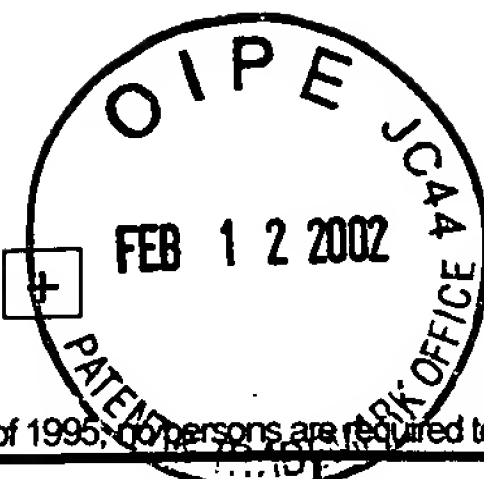
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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

2

of

2

Complete if Known

Application Number	09/993,888
Filing Date	November 27, 2001
First Named Inventor	Mark E. Pennell
Group Art Unit	2152
Examiner Name	not yet known
Attorney Docket Number	10005.000110

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	A	US Application No.09/993,887, Filed on November 27, 2001, by Jax B. Cowden, et al.	
	B	US Application No.09/993,906, Filed on November 27, 2001, by Jax B. Cowden, et al.	
	C	US Application No.09/993,904, Filed on November 27, 2001, by Jax B. Cowden, et al.	

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Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Unique citation designation number. ² Applicant is to place a check mark here if English language Translation is attached.

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